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Contractor INDUSTRIAL ECONOMICS, INCORPORATED					Specify Section and paragraph of Contract SOW					
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Comments: WA Title: Region 7 Tribal Grants Evaluation  The purpose of this action is to initiate Work Assignment 1-16 (Phase II) in accordance the Contractor's approved Work Plan dated October 26, 2010.										
<input type="checkbox"/> Superfund    Accounting and Appropriations Data <input checked="" type="checkbox"/> Non-Superfund										
Note: To report additional accounting and appropriations date use EPA Form 1900-69A.										
SFO <input type="checkbox"/> (Max 2)										
Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
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Contract Period:		Cost/Fee:				LOE: 0				
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Work Plan / Cost Estimate Approvals										
Contractor WP Dated:				Cost/Fee:		LOE:				
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**Performance Work Statement  
Technical Support for Stimulating and Promoting  
Innovations to EPA's System of Environmental Protection**

**I. Introduction**

The Environmental Protection Agency (EPA), Office of Policy, Economics and Innovation (OPEI) is seeking sophisticated and strategic technical support to initiate, test, evaluate and promote widespread adoption of innovations in the nation's system of environmental protection. EPA's commitment to innovation was renewed in its strategy, "Innovating for Better Environmental Results" (hereafter referred to as the Innovation Strategy), which can be found at [www.epa.gov/opei/strategy](http://www.epa.gov/opei/strategy). Innovation is critical to the success of EPA's work in encouraging responsible stewardship in the public and private sectors as well as on the part of individual citizens. [See "Everyday Choices: Opportunities for Environmental Stewardship" at [www.epa.gov/innovation/pdf/rpt2admin.pdf](http://www.epa.gov/innovation/pdf/rpt2admin.pdf).]

Innovations by their nature can take many forms, including forms not currently anticipated. Innovations may range from incremental improvements in existing policies and programs to entirely new ways of addressing environmental problems.

Under this contract, the contractor shall assist the EPA in stimulating and promoting innovation in a variety of ways, such as:

- establishing pilot projects;
- measuring and evaluating the results of projects and other innovative efforts;
- analyzing the potential value of innovations for broader application;
- applying promising innovations and disseminating information about innovation on a broader scale; and
- providing systemic support to encourage an organizational culture that embraces innovation, is fully collaborative both internally and externally and provides stewardship leadership by example.

**II. Background**

Consensus is growing among many parties working on environmental issues that our nation's environmental protection system faces an increasingly complex set of challenges. Problems such as polluted runoff from streets and farms, global climate change and loss of habitat and biodiversity require a broader set of tools than those that have been used in the past. There is also widespread interest in assessing whether alternatives to the existing regulatory tools could provide environmental results with less economic and social burden.

A variety of factors create the need to search for more innovative approaches to environmental protection. Some of these factors are pressing environmental problems for which existing regulatory tools have not been effective. Other factors are economic, such as the continued pressure to create more value for each taxpayer dollar invested. Some feel that the single medium approaches that have dominated existing environmental laws and programs should be

complemented with programs that adopt a geographic, sectoral or facility-wide approach. Accordingly, EPA recognizes that it needs to be adaptive, collaborative and flexible in finding ways to protect public health and improve environmental protection.

As elaborated more fully in the Innovation Strategy and Everyday Choices, EPA recognizes the need to develop new approaches to improve environmental results. These approaches include a range of functional and operational techniques, such as: cross-media approaches; incentives to reward and encourage performance beyond regulatory requirements; partnership programs; use of environmental management systems; regulatory flexibility; emissions and effluent trading and related efforts to achieve overall environmental improvement; the creative use of information on environmental impacts; smart growth approaches to land development; and pollution prevention and collaborative processes. Often an innovative approach may include a combination of these approaches. Furthermore, EPA must ensure that it has an organizational culture that encourages innovative thinking as a routine part of the agency's way of doing business.

To enhance its innovation capacity, EPA needs technical support of many kinds. Using this contract, EPA will draw on such expertise to strengthen environmental partnerships and collaborative capacity, target priorities, expand the current collection of tools, conduct supporting technical analyses and create a more innovative culture to effectively solve challenging problems across the Agency.

### **III. Scope of Activities and Expertise Requirements**

To promote the discovery and use of innovations at all levels of environmental protection, EPA will require technical support for multifaceted activities across the whole innovation cycle. The innovation cycle includes five different elements:

1. Planning and managing innovation
2. Testing innovations
3. Measuring, evaluating and analyzing performance of innovations
4. Encouraging broad-scale use of innovations
5. Growing an organizational culture that encourages development, discovery, diffusion and application of innovations

These elements may occur as sequential phases, in parallel or as single steps, depending on the situation. In some cases, innovative approaches may be identified by the agency itself; in other cases they may come to the agency's attention through other sources such as states, communities, regulated organizations or nongovernmental groups.

The contract is intended to be a resource for innovators throughout EPA. The contractor shall primarily support the Office of Policy, Economics and Innovation (OPEI), National Center for Environmental Innovation (NCEI) [formerly the Office of Environmental Policy and Innovation (OEPI)], but may be called on to support work in other parts of NCEI or in other offices across the agency, including regional offices. All effort performed by the contractor shall be in accordance with the task areas specified in this Performance Work Statement.

In all contact with the public and Government officials, contractor personnel shall identify

themselves as contractor employees working under contract to the EPA. Contractor identification badges/visitor badges shall be prominently displayed at all times and shall be clearly visible in all public settings. The contractor shall submit all analyses, options, recommendation, reports, and training materials required under this contract in draft for critical review by the contracting officer or the contracting officer's representative (COR). The Government will make all final regulatory, policy, and interpretive decisions resulting from contractor-provided technical support under this contract and make the final decision on all contractor provided recommendations. The contractor shall not publish or otherwise release, distribute, or disclose any work product generated under this contract without obtaining EPA's express written approval. When submitting materials or reports that contain recommendations, the contractor shall:

- explain or rank policy or action alternatives;
- describe procedures used to arrive at recommendations;
- summarize the substance of deliberations;
- report any dissenting views;
- list sources relied upon;
- detail the methods and considerations upon which the recommendations are based.

The contractor shall not provide any legal services to EPA under this contract absent express written advance approval from EPA Office of General Counsel.

**Work Assignments:** The contractor will be required to perform activities according to EPA's determination of their nature, scope, level of priority, and desired outcomes, via the issuance of work assignments. The contractor shall respond to work assignments in accordance with the appropriate section(s) of this Performance Work Statement. These work assignment activities may fall into one, or a combination, of the five elements.

**Work Plans:** In response to EPA's specific requests for work under this PWS, the contractor shall prepare specific work plans and provide progress and final reports. All deliverables produced by the contractor shall be presented to EPA in a format approved by the project officer and/or the work assignment manager as specified in the work assignment.

### **Element 1: Planning and management support**

**Description:** Element 1, planning and management, supports work in all of the other elements described in this PWS. Under this element, EPA will establish overall innovation management plans and will build background information and inventories, to help with decisions related to current and proposed innovations. In identifying and building support for proposed innovations, interactive processes are needed for dialogues, surveys, focus groups, etc. The contractor shall provide planning and management support for environmental innovations.

**Performance:** The planning and managing section of the PWS includes many activities and related analyses and information that will also be performed in connection with, or to complement, the rest of the elements that support innovation. For example, activities established



under the first element may be utilized as innovation goes through testing (element 2), evaluation (element 3) and scale-up (element 4).

1. Research: The contractor shall perform analytical research to provide information and answers to specific questions about existing or proposed innovative approaches raised by the Agency or by others such as states, communities, non-governmental or regulated organizations. EPA is interested in learning the answers to questions, such as:

- Is the innovation already being used? \
- What are the potential benefits (and risks or costs) of the innovation?
- What are the existing barriers?
- What are the requirements for successful deployment?
- What are the predicted outcomes (environmental or others) of the innovation (among many other issues)?

In performing studies and research for the identification, design, and development of innovations, the contractor may be asked to perform the following tasks:

- Information and database searches
- Literature surveys
- Trend analyses of economic, environmental, and regulatory factors
- Opportunity assessments
- Recommendations development to assist with policy analysis and formulation
- Evaluation of current projects and programs
- Data gathering in the field on a variety of issues
- Analysis of significant environmental problems, their causes, and possible approaches for addressing them, including innovative collaborations
- Risk analysis of innovations
- Projection studies for training, outreach and other resource needs
- Projection studies for environmental outcomes
- Surveys of potential external partners for innovation activities
- Analysis of innovations at the state and local levels

The contractor shall conduct literature searches using data bases and sources identified in the work assignment (or specified later in written technical direction) and provide the resulting summary or technical analysis. The contractor shall also identify discrepancies or inconsistencies in the data sources. The contractor shall be expected to perform other research exercises in accordance with the work assignment Performance Work Statement.

2. Communication (and education): As required in this Performance Work Statement and detailed in specific work assignments, the contractor shall communicate and disseminate information concerning existing and proposed innovations across the agency, to states, local governments, tribes, the public, industry, local or national environmental groups,

small businesses and other organizations. Communication functions include, but are not limited to:

2.1. Publications: The contractor shall prepare drafts of materials and revisions according to the individual work assignments. The contractor shall coordinate with the National Technical Information Service (NTIS) and other identified entities as appropriate to make documents available to the public. This includes copying materials to go to NTIS, if needed, keeping track of documents, and delivering materials to NTIS and others. Forms of output may include guidance documents, technical manuals, outreach pamphlets, brochures and fact sheets. The contractor may be asked to prepare electronic versions of draft and final documents, in either, or both, HTML and PDF. In all cases, documents shall comply with Section 508 requirements for accessibility ([www.section508.gov](http://www.section508.gov)), and EPA guidance where available.

2.2. Internet-based outreach and dialogue: The contractor shall fully support internet-based means for outreach to, and involvement of, the public. Such support shall include, in addition to the services described below under “Web development support,” designing and implementing interactive mechanisms such as wikis, podcasts, blogs, RSS feeds and Internet-based dialogues that facilitate public discussion on topics related to all aspects of the agency’s business (policies, rules, issues, etc.). The contractor shall design and develop appropriate web-based programs to manage dialogues for internal national work groups, intergovernmental groups, or for the general public; recruit expert panelists, and report results both on a daily and a post-event basis. An example of the kind of dialogue the contractor may support is described in Democracy On-Line: An Evaluation of the National Dialogue in Public Involvement in EPA Decisions (January 2002, Resources for the Future, Washington, DC) [www.rff.org/rff/Documents/RFF-RPT-demonline.pdf](http://www.rff.org/rff/Documents/RFF-RPT-demonline.pdf) and its archive that is available at [www.network-democracy.org/epa-pip](http://www.network-democracy.org/epa-pip).

3. Data gathering and information management: The contractor shall collect, organize, and maintain data and information to be used by the agency. Such data may be from secondary sources or may have to be gathered by the contractor. Contractor gathered data may include environmental and/or socio-economic data, opinion surveys, and a wide range of other data relevant to the design or performance of policy innovation.<sup>1</sup> EPA will use these data for its analysis of technical issues and options for alternative regulatory and non-regulatory approaches and strategies relating to environmental protection. EPA and others may also use this information to find innovative approaches that can be used in other applications. In addition, the contractor shall use these data as background information and inventories related to current and proposed innovations and make them available to the EPA staff or others. The contractor shall develop, manage and analyze applications and databases using EPA-supported platforms and software (see <http://www.epa.gov/webguide>). The contractor shall create, or use, software programs to design forms, collect and enter data, manipulate the data as required by EPA, and design and produce formal and ad hoc reports. The contractor shall perform these activities in conjunction with developing electronic and hard copy catalogues and/or internet/intranet collection/display sites where the EPA staff or others outside EPA can easily access the information or data. The contractor shall also develop publications and other vehicles for communicating to the general public about all aspects of innovation in connection with all of

the elements described below. Such communications may relate to projects that have been proposed or are underway; results of evaluations and diffusion of innovation ideas, among other things.

4. Surveys and feedback: The contractor shall provide support for surveys and other means for obtaining feedback from external parties, dealing with EPA. This includes planning, designing, conducting, analyzing and presenting the results of surveys, preparation of the Information Collection Request (ICR), and assisting NCEI, and other offices and regions in EPA, in designing, conducting and analyzing such surveys. It may also include maintaining a database on EPA-conducted surveys to serve as a resource for future survey design, and assisting EPA in building consensus about the purpose and follow up activities. See the EPA feedback guidelines, “Hearing the Voice of the Customer” [[www.epa.gov/customerservice/feedback/voice.htm](http://www.epa.gov/customerservice/feedback/voice.htm)] and the permit toolkit, “Customer Service in Permitting” [[www.epa.gov/customerservice/permits](http://www.epa.gov/customerservice/permits)] [Note: Surveys for more than nine non-federal respondents require approval from the Office of Management and Budget [[www.epa.gov/customerservice/pdfs/2006icr.pdf](http://www.epa.gov/customerservice/pdfs/2006icr.pdf)]]

5. Reports: The contractor shall provide EPA with various evaluation and analytical reports; option papers, recommendations and proposals; project design reports; minutes, summaries and findings from meetings; internet and electronic data base and information inventories. The contractor may be asked to prepare electronic versions of draft and final documents, in either or both HTML and PDF. In all cases, documents shall comply with Section 508 requirements for accessibility ([www.section508.gov](http://www.section508.gov)), and EPA guidance where available.

6. Web development support: The Contractor shall provide web services both on a project-specific basis and for the purposes of broader scale outreach. The purpose of the broader scale outreach is to effectively communicate innovations to EPA staff, states, interested parties and groups, and the general public. These web services shall include:

- Maintaining existing web sites and databases, including the design, testing and implementation of enhancements, adding and populating new modules, and fixing bugs in a short timeframe.
- Designing, testing and populating new web sites, data bases and web-based communication [e.g. blog, wiki, podcast, RSS feed] to support innovation and policy development. Designs will be tested and optimized for different browser conditions and operating environments.
- Suggesting ways to improve the web site.
- Ensuring that all web work is in compliance with agency and government-wide web policies and requirements. These include Federal Section 508 requirements for accessibility and EPA specifications for public web site and web page content.
- Events: The contractor shall provide technical and administrative support for informational and training events about innovation(s), both within the agency and including others.
  - Events include meetings, conferences, workshops, focus groups,

public hearings, and other public involvement events. These events may be limited to participants from within the agency, include EPA and other regulatory agencies, or may be open to the general public. The Scope of events may be national, regional, or local in scope.

- Technical support could include: researching and preparing background information; facilitating sessions; recording sessions and preparing and analyzing minutes, summaries, and proceedings. Forms of outputs may include research and technical analysis of issues raised by affected or concerned participants. The contractor shall clearly indicate the assumptions made, sources used and not used, and methodological choices made, both, conceptually and in data selection.
- Administrative support could include preparing mailing lists, correspondence, name badges, registration packets; researching potential venues; developing on-line secured sites; managing registration; help in payment of hotel bills under EPA supervision; purchasing conference materials such as notepads and folders; producing flyers and agendas; arranging for working meals; staffing the registration desk; and procuring, as well as supporting on site audio-visual equipment.
- Some current examples of planning activities are to analyze system change models and to develop criteria and processes for measuring, evaluating and scaling up successful experiments.

## **Element 2: Testing innovations**

**Description:** Element 2 involves testing proposed innovations on a limited scale (e.g., pilot projects) to assess the effectiveness of the approach in addressing environmental problems or improving the performance of the environmental protection system. Such testing is expected to provide useful information about topics such as environmental and behavioral impacts, costs, procedures, and acceptance, in real-world applications. In this phase EPA will select the innovation to be tested, identify partners for such testing, identify stakeholders and other interested parties, and will determine the scope and resources needed. EPA will collaborate with partners and other parties to specify the actions to be undertaken and necessary implementing steps. EPA will then implement and monitor the test activities. EPA may also perform orientation and capacity building training according to the needs of the stakeholders and EPA staff. The contractor shall provide support for all of these aspects of testing environmental innovations.

**Performance:** The contractor shall support testing or piloting of innovations by EPA or by the outside partners identified by EPA. EPA will determine the extent of testing needed. Activities in support of testing shall include all aspects of project management, including:

- Providing technical assistance to EPA and its partners in designing the pilot project or other test(s).
- Identifying potential stakeholders and other interested parties.
- Providing training workshops; identifying and analyzing potential innovative Approaches.
- Soliciting proposals for testing those approaches or other approaches identified by outside parties.
- Facilitating meetings with partners, stakeholders, or the general public.
- Creating materials for communication with partners, stakeholders, or the general Public.
- Organizing and implementing pilot projects.
- Developing and implementing techniques for monitoring or tracking progress and outcomes of pilot projects.
- Organizing site visits to pilot projects.
- Analyzing the experience and lessons learned in pilot testing.

The contractor will not be the implementer of tests or pilots.

Current examples of testing activities include are implementation of pilot projects under programs such as Pollution Prevention in Permitting Program (P4) [[www.epa.gov/oppt/p2home/pubs/casestudies/p4intitlev.htm](http://www.epa.gov/oppt/p2home/pubs/casestudies/p4intitlev.htm)], water quality trading [www.epa.gov/owow/watershed/trading.htm](http://www.epa.gov/owow/watershed/trading.htm), integrated permitting [www.epa.gov/permits/integrated.htm](http://www.epa.gov/permits/integrated.htm), lean manufacturing [www.epa.gov/lean](http://www.epa.gov/lean), tools and resources for the CARE Program [www.epa.gov/CARE](http://www.epa.gov/CARE), and streamlining OPP's re-registration program [www.epa.gov/pesticides/regulating/index.htm](http://www.epa.gov/pesticides/regulating/index.htm).

### **Element 3: Evaluating innovations**

**Description:** Element 3 often complements initial research performed during planning in Element 1 and testing in Element 2. EPA will evaluate a variety of innovations including but not limited to those tested by EPA under Element 2. EPA will also revise earlier analyses and formative evaluations of the proposed innovative project or program. Some evaluations may be extensive; others may be brief assessments. Evaluations will focus on forward thinking actions to determine deployment plans, policies and strategy. Evaluations and assessments will provide information to help EPA answer questions about project selection and priorities, economic factors, environmental outcomes/impacts/results, future plans and deployment strategies, regulatory conflict, cultural barriers and gaps in the knowledge base of the people who are involved. Evaluations will also provide information about the potential effectiveness of proposed innovations. The contractor shall provide support for measuring, evaluating and analyzing the performance of environmental innovations and core programs.

**Performance:** The contractor shall perform a variety of analyses and evaluations, relating to innovations that have been implemented by EPA, or its outside partners. Once completed, the evaluation and/or analysis shall be presented to EPA, according to the work assignment performance work statement.

1. Evaluations: The contractor shall perform surveys, participate in conference calls, perform site visits, design evaluation frameworks and implement evaluations for innovations. The contractor shall perform or coordinate peer or expert reviews of evaluation methodologies and reports. Evaluations shall address the technical and behavioral elements of change. Such evaluations shall include:

- Policy and program evaluation to identify potential innovations and the impacts of those selected.
- Formative evaluations to evaluate potential innovations before testing may be desirable. (Research and policy analysis must support this type of evaluation. Such evaluations shall include assistance in program design to better enable measurement and evaluation of the innovation.)
- Cost-effectiveness evaluations to analyze the benefits of the outputs/outcomes with the external and internal costs of producing them.
- Process evaluations and assessment to analyze and track progress and to assess the projects on a variety of indicators, including environmental and organizational impacts.
- Impact evaluations of the scope and effectiveness of the different phases of the innovation cycle in terms of end results.
- Outcome evaluations comparing outcomes to the objectives or the goals of innovation during testing and scale up.
- Evaluations of emerging issues to identify and evaluate emerging environmental and human health problems.
- Other evaluations related to the innovation.

2. Analysis: The contractor shall analyze data and information about innovations. As part of the evaluations, analyses shall address the technical and behavioral elements of innovation.

- Analyses of trends: The contractor shall perform trend analyses for innovation related topics occurring within other countries, states, local governments, tribes and industry to identify opportunities for innovations. The contractor shall collect information and qualitatively and/or quantitatively analyze current trends to identify opportunities for innovative projects or programs. Trend areas may include organizational, economic, environmental, technological and regulatory factors such as economic incentives, pollution levels, conservation activities and human behavioral changes.
- Analyses of opportunities: The contractor shall identify, analyze and prioritize opportunities for innovation according to specific criteria established by EPA. This may require up-front research including information searches, surveys and other feedback activities. Activities may include evaluating the EPA criteria for possible improvements and performing research to identify best practices for policies, rules and practices, as well as analyzing different options for changing such policies, rules or practices. Benchmarking is a term used to describe

the practice of looking outside your organization to find and possibly use a tool or process of another organization. EPA often benchmarks with other federal agencies but may also benchmark with organizations in other countries, in states and in local communities.

- Analyses of existing and proposed legislation and regulations for policy development: The contractor shall perform initial and trend analysis in environmental legislation and regulations at the federal, state, local and tribal levels for industries and businesses identified by the agency and provide information for policy development for innovative projects or programs based on those trends.
- Evaluative Design Work - Pilot Design: The contractor shall provide technical support evaluating the design of the testing and deployment of an innovative idea. Evaluations that come into play in the design include but are not limited to the cost-effectiveness, organizational adjustments, behavioral changes and environmental benefits of prospective projects.

Some current agency-wide examples of evaluation activities are to hold an annual program evaluation competition, maintain agency-wide Program Evaluation Network (PEN) management and overhead, and undertake additional capacity building activities for evaluation in all offices

#### **Element 4: Encouraging broad-scale application of innovations**

**Description:** Element 4 involves strategically deploying or scaling up the innovations.

Deployment or scale up strategies will take proposed innovations to broader application and may even take the innovation to a national level. Deployment may involve the integration of the innovation into a nationwide program or may occur on a narrower scale. In some cases, EPA will be the primary entity adopting the innovation; in others, parties outside EPA such as states, local government, industry or others will perform the deployment. In the latter case, EPA, working with these parties, will focus on outreach and will provide the leadership, guidance, policies and coordination needed to turn an innovation into an established environmental practice. The process of deployment and scale up will likely take many forms and vary greatly depending on factors such as the nature of the innovation, the partners involved in the process and the constituencies identified as appropriate to adapt and adopt the innovation. The contractor shall provide support to deploy or scale up environmental innovations.

**Performance:** At EPA's direction, the contractor shall assist in the deployment or scale up of the innovation. The contractor shall provide assistance to EPA in developing and implementing strategies for scaling up or deployment. In general, innovation deployment and system change will occur through the following four activity elements, although this is not an exclusive list:

1. Support for policy and regulatory development designed by EPA to enable mainstream use of an innovation and incorporation into the operational systems of environmental regulatory agencies;
2. Outreach and communication support designed to assist EPA in conveying both



the utility of the innovation itself and the implications to stakeholders on its incorporation into regulatory systems;

3. Education and technical assistance support designed to help EPA in creating capacity for its use and delivery within environmental regulatory agencies;

4. System change support to assist EPA facilitating and supporting organizational adjustments and strategic planning necessary to fully institutionalize an innovation within an environmental regulatory agency.

In connection with the above tasks, and others not specifically listed, the contractor shall: gather facts, perform research and analysis, identify options, convene and facilitate meetings with stakeholders, produce publications, analyze and brief people inside and outside regulatory agencies about innovations, hold conferences and provide technical web and database expertise. In some cases, the functions involved in scaling up an innovation will be similar to those in element 2, testing (e.g., applying an innovation that has been tested at one facility to a limited number of facilities in a different jurisdiction or industry sector). Therefore, all functions listed in element 2 may be required in element 4, as well. The scope of this contract does not extend to full-scale implementation of innovations, but rather to the transition from the initial testing phase to broad application.

An example of scale up and system change activity is the ongoing effort to encourage wider use of the self-certification approach for small businesses first used in the Massachusetts Environmental Results Program (ERP).

A second area for scale up is Administrative Lean and Lean Process Improvement. To encourage broad scale application and provide system change support for this particular arena, the contractor would be called upon to provide services to assist with the design and implementation of Administrative Lean concepts, also known as Lean Process Improvement concepts. Specifically the services should include:

- Mentoring, coaching, teaching and facilitating best practices, methods, techniques, and tools for Administrative Lean concepts to EPA/government processes, and
- Advising and supporting specific Administrative Lean activities/events being undertaken by EPA, including written project documentation.

The skills/abilities and behaviors necessary to encourage broad application of Lean include: good communication, instruction and facilitative skills; being process driven with the ability to learn business concepts, model processes and quickly relate them to the specific needs of a government project; strong risk assessment and problem resolution skills; the ability to analyze, synthesize, and identify weaknesses and process development expertise, with the administrative skills to document processes, meetings and decisions.

## **Element 5: Promoting systemic organizational change**

**Description:** Element 5 recognizes that the organizational fabric of EPA must be supportive of



innovation for innovations to succeed. (See Part IV of the Innovation Strategy, “Foster a More Innovative Culture and Organizational Systems.”) For innovation to be part of the way EPA does business, the staff and managers at EPA and partner organizations must be willing to: think of themselves as environmental problem solvers (as well as implementers of established programs), consider alternatives to traditional approaches for addressing problems, use their creativity in seeking new partners and better ways to collaborate, and take reasonable risks in trying out new approaches to environmental protection. This element complements innovative activities supported by Elements 1-4 and fosters success of the agency’s routine activities. Element five has been established to ensure that a culture of innovation exists at EPA and that a system is developed to foster the culture shift.

**Performance:** The contractor shall provide support to foster systemic organizational change designed to build a culture of innovation. The contractor shall be knowledgeable about organizational systems and their impact on organizational behavior and about methods of organizational culture change. The contractor shall provide substantive and procedural support in at least six aspects of organizational culture change: (1) goal definition and development; (2) barrier identification; (3) change strategy development; (4) strategy implementation; (5) assessment and evaluation; and (6) strategy revision and refinement. Functions involved in Element 5 may include research and analysis of organizational systems (such as budgeting, human resources, contracting and others); communications; information management; project and activity tracking; training; capacity building; technical assistance; facilitation; meeting support; workshops; focus groups; interviews; literature review; surveys; coaching and advising, and other methods.

Potential culture change activities may also include: making innovators throughout the agency aware of the services available under this contract; assisting EPA in evaluating innovation proposals for funding, and supporting a national symposium of innovators within and outside EPA.

Examples of initiatives under way at EPA that may encourage culture change are the rotation of senior managers, the reassessment of the agency’s goal structure to make its performance objectives more outcome-based, and the availability of training in collaboration knowledge, skills and behaviors.

<sup>1</sup> The contractor shall not have access to confidential records protected from disclosure by the Privacy Act of 1974

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						FAX Number:				
Project Officer Name    Cathy Turner						Branch/Mail Code:				
_____ (Signature)                      (Date)						Phone Number: 202-566-0951				
						FAX Number:				
Other Agency Official Name						Branch/Mail Code:				
_____ (Signature)                      (Date)						Phone Number:				
						FAX Number:				
Contracting Official Name    Bradley Austin						Branch/Mail Code:				
_____ (Signature)                      (Date)						Phone Number: 202-564-5574				
						FAX Number:				

<b>EPA</b> United States Environmental Protection Agency Washington, DC 20460 <b>Work Assignment</b>						Work Assignment Number 1-16				
						<input type="checkbox"/> Other <input checked="" type="checkbox"/> Amendment Number: 000002				
Contract Number EP-W-10-002			Contract Period 11/19/2009 To 11/18/2014			Title of Work Assignment/SF Site Name				
			Base                      Option Period Number    1			Region 7 Tribal Grants Eval.				
Contractor INDUSTRIAL ECONOMICS, INCORPORATED					Specify Section and paragraph of Contract SOW Pg 10-11, Element III, Sec. 1					
Purpose: <input type="checkbox"/> Work Assignment <input type="checkbox"/> Work Assignment Close-Out <input checked="" type="checkbox"/> Work Assignment Amendment <input type="checkbox"/> Incremental Funding <input type="checkbox"/> Work Plan Approval					Period of Performance  From 11/19/2010 To 11/18/2011					
Comments: The purpose of this amendment to Work Assignment 1-16 is to approve the addition of 193.5 level of effort hours at no additional cost to the Government.										
<input type="checkbox"/> Superfund                      Accounting and Appropriations Data <input checked="" type="checkbox"/> Non-Superfund										
SFO <input type="checkbox"/> (Max 2)                      Note: To report additional accounting and appropriations date use EPA Form 1900-69A.										
Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1										
2										
3										
4										
5										
Authorized Work Assignment Ceiling										
Contract Period: 11/19/2009 To 11/18/2014		Cost/Fee:				LOE:				
This Action:										
Total:										
Work Plan / Cost Estimate Approvals										
Contractor WP Dated:				Cost/Fee:			LOE:			
Cumulative Approved:				Cost/Fee:			LOE:			
Work Assignment Manager Name    Britta Johnson							Branch/Mail Code:			
_____ (Signature)                      (Date)							Phone Number    202-566-1465			
							FAX Number:			
Project Officer Name    Cheryl R. Brown							Branch/Mail Code:			
_____ (Signature)                      (Date)							Phone Number: 202-566-0940			
							FAX Number:			
Other Agency Official Name							Branch/Mail Code:			
_____ (Signature)                      (Date)							Phone Number:			
							FAX Number:			
Contracting Official Name    Jami Rodgers							Branch/Mail Code:			
_____ (Signature)                      (Date)							Phone Number: 202-564-4781			
							FAX Number:			

<b>EPA</b> United States Environmental Protection Agency Washington, DC 20460 <b>Work Assignment</b>						Work Assignment Number 1-16				
						<input type="checkbox"/> Other <input checked="" type="checkbox"/> Amendment Number: 000003				
Contract Number EP-W-10-002			Contract Period 11/19/2009 To 11/18/2014			Title of Work Assignment/SF Site Name				
			Base                      Option Period Number    1			Region 7 Tribal Grants Eval.				
Contractor INDUSTRIAL ECONOMICS, INCORPORATED					Specify Section and paragraph of Contract SOW Pgs. 10-11, Element 3, Sec. 1, para. 1					
Purpose: <input type="checkbox"/> Work Assignment <input type="checkbox"/> Work Assignment Close-Out <input checked="" type="checkbox"/> Work Assignment Amendment <input type="checkbox"/> Incremental Funding <input type="checkbox"/> Work Plan Approval					Period of Performance  From 11/19/2010 To 11/18/2011					
Comments: The purpose of this amendment to Work Assignment 1-16 is to add 74 level of effort hours to Task 4 for the creation of detailed report outline and schedule. The contractor shall provide a revised work plan and cost estimate in accordance with the contract.										
<input type="checkbox"/> Superfund                      Accounting and Appropriations Data <input checked="" type="checkbox"/> Non-Superfund										
Note: To report additional accounting and appropriations data use EPA Form 1900-69A.										
SFO (Max 2) <input type="checkbox"/>										
Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1										
2										
3										
4										
5										
Authorized Work Assignment Ceiling										
Contract Period: 11/19/2009 To 11/18/2014    Cost/Fee:    LOE:										
This Action:										
Total:										
Work Plan / Cost Estimate Approvals										
Contractor WP Dated:    Cost/Fee:    LOE:										
Cumulative Approved:    Cost/Fee:    LOE:										
Work Assignment Manager Name    Britta Johnson  _____ (Signature)                      (Date)							Branch/Mail Code: Phone Number    202-566-1465 FAX Number:			
Project Officer Name    Cathy Turner  _____ (Signature)                      (Date)							Branch/Mail Code: Phone Number: 202-566-0951 FAX Number:			
Other Agency Official Name  _____ (Signature)                      (Date)							Branch/Mail Code: Phone Number: FAX Number:			
Contracting Official Name    Jami Rodgers  _____ (Signature)                      (Date)							Branch/Mail Code: Phone Number: 202-564-4781 FAX Number:			

## Work Assignment Statement of Work

**Title:** **Region 7 Tribal Grants Evaluation**

**Work Assignment Number: 1-16**

**Estimated Level of Effort:** **Phase II: 560 + 193.75 (No Cost) + 74 Hours = 827.5 Hours**

**Work Assignment COR (WA COR):**

**Contract Level COR:** Cathy Turner  
CMG/OPEI (1805T)  
202/566-0951  
202/566-3001 (fax)

Located within the National Center for Environmental Innovation is the Evaluation Support Division (ESD). ESD's mission is two-fold: First, ESD assesses and evaluates innovative activities in ways that identify and explain successful innovations or lessons learned and communicates its findings throughout the Agency to promote system change. Second, ESD builds the capacity of EPA staff and managers to conduct program evaluation activities throughout the Agency by providing technical support and training on program evaluation for EPA's national programs and regional offices. A crucial component in assessing the benefit of meeting goals, objectives, and sub-objectives is having measurable results.

EPA Region 7 awards tribal grants across media programs and these grants provide core funding

for Tribal Nations to assist them in developing capacity and implementing environmental protection programs in accordance with their individual needs and EPA requirements. Each program division in Region 7 has technical and administrative Project Officers who manage these tribal grants and work with the Region 7 Grants Office to ensure that statutory, CFR, and grant administration requirements are met and results are achieved.

Although the Agency's cross-cutting approach helps Tribal Nations develop and implement a multi-media environmental program, this structure often makes Tribal Nations feel that the grants process confusing, conflicting, and time consuming. Region 7 Tribal Nations have expressed concerns that there are conflicting work plan and quarterly report requirements between media programs, that the EPA grants negotiation process is too lengthy, that feedback related to grant products is not timely or productive, and that tribal priorities are under-valued in work plan activities. To help address these concerns, the Region 7 Tribal Program and the Region 7 Regional Tribal Operations Committee (RTOC), have formed a subgroup charged to improve communications. The group has started to map existing grant processes across programs for both Region 7 and the individual Tribal Nations with the aim of increasing transparency and improving tribal grant development and implementation.

This evaluation will build upon that effort and focus on improving internal Region 7 tribal grant processes to assure that tribal grants are handled consistently, expeditiously, and effectively across all programs. Contract support will allow for a verification and enhancement of the process maps currently in development, further analysis of existing processes, and recommendations for improvement. In addition, this evaluation will identify ways Region 7 can become more consistent across programs and improve our grants management, communication, and coordination with Tribal Nations.

Building upon the initial mapping work already underway, this evaluation will attempt to address a number of interrelated questions:

- (1) Are there ways to streamline and enhance the internal grant development processes in a manner that is consistent across our programs?
- (2) How can we improve the process of consulting with Tribal Nations on their progress in carrying out the activities agreed to in grant work plans?
- (3) Once process improvements are identified, as a region how can we consistently implement these processes across programs? As we strive to become One EPA, are there ways to break down organizational silos to improve grants management and relationships with our tribal partners while continuing to effectively draw on programmatic expertise?

### **Quality Assurance (QA) Requirements**

Check [ ] Yes or [ X ] NO, if the following statement is true or false. The Contractor shall submit a written Quality Assurance Project Plan for any project that is developing environmental measurements or a Quality Assurance Supplement to the Quality Management Plan for any project which generates environmental data using models with their technical proposal.

Work Assignment CORs will provide additional information here, if **Yes** is checked above.

## **TASKS AND DELIVERABLES:**

The WA COR will review all deliverables in draft form and provide revisions and/or comments to the contractor. The contractor shall prepare the final deliverables incorporating the WA COR's comments.

Contractor personnel shall at all times identify themselves as Contractor employees and shall not present themselves as EPA employees. Furthermore, they shall not represent the views of the U.S. Government, EPA, or its employees. In addition, the Contractor shall not engage in inherently governmental activities, including but not limited to actual determination of EPA policy and preparation of documents on EPA letterhead.

## **NOTE REGARDING WORK ASSIGNMENT DELIVERABLES AND TECHNICAL DIRECTION:**

The Work Assignment Contracting Officer's Representative (COR) is authorized to issue technical direction under this work assignment. The WAM will follow-up all oral technical direction in writing within 5 days.

## **PHASE I**

### **Phase I Tasks include Tasks 1 through Task 3-1**

#### **TASK 1: PREPARE WORKPLAN**

The contractor shall prepare a workplan **for Phase I and Phase II** within 15 calendar days of receipt of a work assignment signed by the Contracting Officer. The workplan shall outline, describe and include the technical approach, resources, timeline and due dates for deliverables, a detailed cost estimate by task and a staffing plan. The WA COR and the Contract Level COR and the CO will review the workplan. However, only the CO can approve/disapprove the workplan. The contractor shall prepare a revised workplan incorporating the Contracting Officer's comments, if required.

#### **Deliverables and Schedule Under Task 1**

- |                      |   |
|----------------------|---|
| 1a. Workplan         | Within 15 calendar days of receipt of work assignment.                  |
| 1b. Revised workplan | Within 3 calendar days of receipt of comments from the CO, if required. |

#### **TASK 2: DOCUMENT REVIEW AND DESIGN METHODOLOGY**

*[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]*

- 2-1 PARTICIPATE IN A CONFERENCE. The contractor shall participate in a conference call with the EPA COR and other Agency staff to clarify the purpose of the evaluation effort and to exchange ideas about the design of the assessment, the information to be

- collected, potential sources of information, appropriate ways to analyze and present the information, and other pertinent matters. The COR will contact the contractor and provide a time and date for the conference call. For purposes of costing, the contractor should assume one two hour conference call with Region 7 staff and EPA COR.
- 2-2 **REVIEW DOCUMENTS.** The EPA COR will provide the contractor with essential documents to become familiar with the history, goals, and status of each program activity to be evaluated. The contractor shall complete a review of these documents seven (7) calendar days after receiving them. In addition, the contractor shall conduct a literature review to determine if any existing evaluations, studies or analysis of the program have been conducted. For this project, this may include organization charts, grant process maps already developed, EPA Integrated Grants Management System (IGMS) grant related data, and other background documents.
- 2-3 **ASSIST IN DEVELOPING A LOGIC MODEL.** The development of a logic model is an essential tool in developing a common understanding of a program's inputs, outputs and activities. As an initial step in preparation for the evaluation, EPA began developing a logic model of it's program. EPA will provide a copy of the draft logic model to the contractor. The contractor shall finalize the logic model using software (e.g., Microsoft Word, Power Point) that can be manipulated/revised by EPA within 7 calendar days after receipt of the draft logic model from the EPA COR.
- 2-4 **REFINE EVALUATION QUESTIONS.** Using the logic model developed in Task 2-3, the contractor shall meet with the EPA COR and evaluation team members via conference call to refine the evaluation questions that will be the subject of this evaluation. A list of the draft questions shall be delivered 7 calendar days after the final meeting to discuss the questions. Final questions shall be due 7 calendar days after receipt of comments from the EPA COR via TD. For the purpose of costing, the contractor shall assume two 2 hour conference calls.
- 2-5 **DESIGN EVALUATION METHODOLOGY.** Based on the conference call in 2-2 and the final logic model, the contractor shall prepare a draft evaluation methodology, which will address the purpose, audience, the refined questions that will be the focus of the evaluation, and information needed to evaluate the program. This methodology shall include a plan for gathering the needed information, including interview/discussion guides for the program evaluation and a plan for compiling, analyzing and presenting the information gathered. The draft evaluation methodology shall also include a proposed schedule for: (1) delivering the information gathering plan (Task 3-1), (2) discussing the compilation, analysis and presentation of information (Task 3-2) and for providing the draft and final reports (Task 4-1 and 4-2). The draft evaluation methodology shall be due 14 calendar days after a receipt of a TD from the EPA COR. The final evaluation methodology shall be due 7 calendar days after receipt of comments from the EPA COR via TD.
- 2-6 **EVALUATION ASSURANCE PLAN.** The contractor shall prepare an evaluation assurance plan (EAP) that shall describe the use of primary and or secondary data sources for the evaluation report. Specifically, the EAP will describe: 1) the purpose of the evaluation, 2) the methodology used to collect data for the report, 3) how and where data



for the evaluation was collected, 4) why the particular data collection method was chosen, 5) how the data will be used and by whom, 6) how the resulting evaluation report will be used and by whom and, 7) any data limitations or caveats. An example of a EAP will be provided by the WAM. The contractor shall submit the EAP to the EPA COR one week after the final evaluation methodology is approved. A final EAP will be delivered 3 calendar days after receipt of comments from the EPA COR via TD.

## **Deliverables and Schedule Under Task 2**

2-1	Participate in conference	To be specified by the EPA WAM
2-3	Finalize Logic Model	7 calendar days after receipt of draft Logic Model from EPA WAM
2-4a	Draft Refined Questions	7 calendar days after final meeting with EPA WAM
2-4b	Final Refined Questions	7 calendar days after receipt of comments from EPA WAM via TD
2-5a	Draft evaluation methodology	14 calendar days after receipt of TD from EPA WAM
2-5b	Final evaluation methodology	7 calendar days after receipt of comments via TD from EPA WAM
2-6	Evaluation Assurance Plan	7 calendar days after WAM approves final evaluation methodology
2-6b	Final Evaluation Assurance Plan	3 calendar days after receipt of comments via TD from EPA WAM

## **TASK 3: INFORMATION GATHERING AND ANALYSIS**

*[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]*

3-1 INFORMATION GATHERING. The information that is needed to conduct this evaluation will come from a variety of sources. Within 7 calendar days after the EPA WAM approves the evaluation methodology (via TD), the contractor shall begin the data collection process specified in the approved evaluation methodology. Note: A bulk of the time and resources for this utilization focused evaluation should be devoted to Task 3 in information gathering and data analysis. For the purposes of costing, the contractor shall assume no more than 20 interviews lasting 2 hours each in duration (interviews of all 7 Tribal Nations, Region 7's Water, Air, Policy and Management, and Superfund Division staff, EPA HQ American Indian Environmental Office (AIEO), and a number of other EPA regions). Fewer than 9 Tribes will be interviewed; therefore an ICR will not be required. For purposes of costing, the contractor shall also assume taking no more than three trips to visit Region 7 office and/or tribal nations for interviews and report out presentation. Specifically, the contractor should consider visiting during the week of October 18, 2010 in conjunction with the Regional Tribal Operations Council Meeting in Lawrence KS, whereby a number of interviews with Tribal Nations could occur. The contractor could also complete some interviews with regional staff at this time. Otherwise, most Region 7 interviews could be conducted via telephone. The contractor should also assume spending time reviewing and revising the already developed regional programmatic tribal grant process maps.

## **PHASE II**

**Phase II Tasks include Task 3-2 through Task 4-5.**

- 3-2 **DISCUSSION OF DATA COMPILATION, ANALYSIS, AND PRESENTATION.** In accordance with the evaluation methodology schedule, the contractor shall meet via conference call with the EPA COR and other Agency staff to present approaches to and preliminary results of compilation, analysis, and presentation of the information. A bulk of the time and resources devoted to this project should be completed as part of Task 3 elements.

### **Deliverables and Schedule Under Task 3**

- |     |   |   |
|-----|---|---|
| 3-2 | Discuss data compilation, analysis and presentation | In accordance with Methodology Schedule approved in Task 2-5b |
|-----|---|---|

#### **TASK 4: REPORTS**

*[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]*

**4-1 REPORT OUTLINE.** The contractor shall submit an annotated outline describing the contents of the draft and final report. This will serve as a roadmap for laying out the format of the report. This will be instrumental in organizing the format and flow of the document and outlining the “story” that the evaluation report will tell.

**4-2 REPORT SCHEDULE.** The contractor shall submit a schedule, walking back from November 18, 2011 detailing dates when each draft will be delivered to EPA and when comments will be received from EPA while factoring in time for internal formatting and QA.

**4-3 DRAFT REPORT.** In accordance with **the schedule developed in task 4-2**, the contractor shall submit a draft report containing, the compilation, analysis, and presentation of information developed and gathered during the conduct of the evaluation. Specifically, the contractor shall include information obtained or developed in support of Tasks 2-1 through 3-2. **For purposes of costing, the contractor shall assume that two separate drafts of the report will be required.**

**4-3 FINAL REPORT.** The contractor shall provide a final report that reflects appropriate consideration of the Agency’s comments on the draft report and of any comments received during the oral presentations. The EPA COR will provide the contractor with a copy of the ESD’s Report Style Guidelines. These guidelines shall be used to write all components of the evaluation report. In addition, the contractor shall use the ESD Report Cover provided by the EPA COR when preparing the final report. The contractor should assume that the bulk of the reporting will occur as part of an in-depth oral presentation to Regional Senior Management and limited focus upon a formal lengthy written report.

**4-4 ORAL PRESENTATIONS.** The contractor shall be prepared to make at least one oral presentation of the information at a date, time, and location to be specified by the WA COR in a

TD. The location will most likely be EPA Region 7 office in Kansas City, KS. The contractor shall prepare appropriate briefing materials, specifically, a power point briefing for the oral presentation. This in depth oral presentation will be given to Regional Senior Management and comprise a bulk of the reporting of results and recommendations from this evaluation, including 2-3 detailed, implementable recommendations.

4-5 **FACTSHEET.** The contractor shall develop a fact sheet summarizing the evaluation purpose, questions, methodology, results and recommendations. The WA COR will provide the contractor with a copy of a fact sheet template.

4-6 **EVALUATION RECOMMENDATION TAXONOMY FORM.** The EPA will use this form to categorize each recommendation the contractor develops for the final report. The contractor shall complete the Evaluation Recommendation Taxonomy Form by providing each recommendation for the given evaluation, its proposed evaluation recommendation category, its direct environmental impact, and any additional comments the contractor may have. The list of the evaluation recommendation categories is located on the form for reference purposes. The form will in no way influence the contents of the report or briefings. The WA COR will provide the contractor with a copy of the Evaluation Recommendation Taxonomy Form.

#### **Deliverables and Schedule Under Task 4**

<b>4-1</b>	<b>Report Outline</b>	<b>7 calendar days after the Oral presentation scheduled by the WAM.</b>
<b>4-2</b>	<b>Report Schedule</b>	<b>Included in submission of Report Outline</b>
4-3	Draft report	In accordance with the evaluation methodology schedule approved by the WAM in task 2-5b.
4-3	Final report	14 calendar days after receipt of comments on the draft report and oral presentations.
4-4	Evaluation Recommendation Taxonomy	7 calendar days after the final report is completed.
4-5	Oral presentation	To be scheduled by the EPA WAM
4-6	Fact Sheet	7 calendar days after completion of Final Report

<b>Table 1: Summary of Deliverables and Dates</b>		
<b>Task</b>	<b>Deliverable</b>	<b>Due Date</b>
<b>Task 1 Prepare Work plan</b>		
1a	Work plan	Within 15 calendar days of receipt of work assignment
1b	Revised work plan	Within 3 calendar days of receipt of comments from CO
<b>Task 2 Document Review and Design Methodology</b>		
2-1	Participate in conference	To be specified by the EPA WAM
2-3	Finalize Logic Model	7 calendar days after receipt of draft Logic Model from EPA WAM
2-4a	Draft Refined Questions	7 calendar days after final meeting with EPA WAM
2-4b	Final Refined Questions	7 calendar days after receipt of comments from EPA WAM via TD
2-5a	Draft Methodology	14 calendar days after receipt of TD from EPA WAM
2-5b	Final Methodology	7 calendar days after receipt of comments from EPA WAM
2-6a	Draft Evaluation Assurance Plan	7 calendar days after EPA WAM approves final evaluation methodology
2-6b	Final Evaluation Assurance Plan	3 days after receipt of comments from EPA WAM via TD
<b>Task 3 Information Gathering and Analysis</b>		
3-2	Discussion of Data Compilation, Analysis and Presentation Plan	In accordance with Methodology Schedule approved in Task 2-5b
<b>Task 4 Report</b>		
4-1	<b>Report Outline</b>	<b>7 calendar days after the Oral presentation scheduled by the WAM.</b>
4-2	<b>Report Schedule</b>	<b>Included in submission of Report Outline</b>
4-3	Draft Report	In accordance with the evaluation methodology schedule approved by the WAM in task 2-5b
4-3	Final Report	14 calendar days after receipt of comments on the draft report and oral presentations.
4-4	Evaluation Recommendation Taxonomy	7 calendar days after the final report is completed.
4-5	Oral Presentations	To be scheduled by the EPA WAM
4-6	Fact Sheet	7 calendar days after completion of Final Report